

FORM D

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549



06048727

FORM D

NOTICE OF SALE OF SECURITIES PURSUANT TO  
REGULATION D,  
SECTION 4(6), AND/OR  
UNIFORM LIMITED OFFERING EXEMPTION

## OMB APPROVAL

OMB NUMBER: 3235-0076  
Expires: November 30, 2001  
Estimated average burden  
hours per response 16.00

## SEC USE ONLY

Prefix Serial  
DATE RECEIVED

Name of Offering (☐ check if this is an amendment and name has changed, and indicate change.)

## Membership Interests

Filing Under (Check box(es) that apply): ☐ Rule 504 ☐ Rule 505 ☒ Rule 506 ☐ Section 4(6) ☐ ULOEType of Filing: ☒ New Filing ☐ Amendment

## A. BASIC IDENTIFICATION DATA

1. Enter the information requested about the issuer

Name of Issuer (☐ check if this is an amendment and name has changed, and indicate change.)

Ridgewood Energy U Fund, LLC

Address of Executive Offices (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Telephone Number (Including Area Code)

201-447-9000

Address of Principal Business Operations (if different from Executive Offices) (Number and Street, City, State, Zip Code)

Telephone Number (Including Area Code)

Brief Description of Business: To acquire interests in oil and natural gas properties

Type of Business Organization

☐ corporation☐ limited partnership, already formed☒ other (please specify): limited liability company☐ business trust☐ limited partnership, to be formed

Month Year

Actual or Estimated Date of Incorporation or Organization 08 06 ☒ Actual ☐ Estimated

Jurisdiction of Incorporation or Organization: (Enter two-letter U.S. Postal Service abbreviation for State:

CN for Canada; FN for other foreign jurisdiction) DE

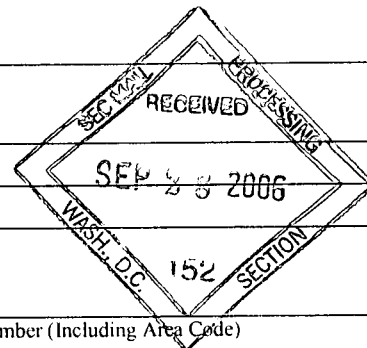
## GENERAL INSTRUCTIONS

## Federal:

*Who Must File:* All issuers making an offering of securities in reliance on an exemption under Regulation D or Section 4(6), 17 CFR 230.501 et seq. or 15 USC 77d(6).*When To File:* A notice must be filed no later than 15 days after the first sale of securities in the offering. A notice is deemed filed with the U.S. Securities and Exchange Commission (SEC) on the earlier of the date it is received by the SEC at the address given below or, if received at that address after the date on which it is due, on the date it was mailed by United States registered or certified mail to that address.*When to File:* U.S. Securities and Exchange Commission, 450 Fifth Street, N.W., Washington, D.C. 20549.*Copies Required:* Five (5) copies of this notice must be filed with the SEC, one of which must be manually signed. Any copies not manually signed must be photocopies of the manually signed copy or bear typed or printed signatures.*Information Required:* A new filing must contain all information requested. Amendments need only report the name of the issuer and offering, any changes thereto, the information requested in Part C, and any material changes from the information previously supplied in Parts A and B. Part E and the Appendix need not be filed with the SEC.*Filing Fee:* There is no federal filing fee.*State:* This notice shall be used to indicate reliance on the Uniform Limited Offering Exemption (ULOE) for sales of securities in those states that have adopted ULOE and that have adopted this form. Issuers relying on ULOE must file a separate notice with the Securities Administrator in each state where sales are to be, or have been made. If a state requires a payment of a fee as a precondition to the claim for the exemption, a fee in the proper amount shall accompany this form. This notice shall be filed in the appropriate states in accordance with state law. The Appendix to the notice constitutes a part of this notice and must be completed.

## ATTENTION

Failure to file notice in the appropriate states will not result in a loss of the federal exemption. Conversely, failure to file the appropriate federal notice will not result in a loss of an available state exemption unless such exemption is predicated on the filing of a federal notice.



PROCESSED

OCT 04 2006

THOMSON  
FINANCIAL

## A. BASIC IDENTIFICATION DATA

2. Enter the information requested for the following:

- Each promoter of the issuer, if the issuer has been organized within the past five years;
- Each beneficial owner having the power to vote or dispose, or direct the vote or disposition of, 10% or more of a class of equity securities of the issuer;
- Each executive officer and director of corporate issuers and of corporate general and managing partners of partnership issuers; and
- Each general and managing partner of partnership issuers.

Check Box(es) that Apply: ☒ Promoter ☒ Beneficial Owner ☐ Executive Officer ☐ Director ☒ Managing Member

Full Name (Last name first, if individual)

**Ridgewood Energy Corporation**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Check Box(es) that Apply: ☒ Promoter ☒ Beneficial Owner ☒ Executive Officer ☒ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

**Swanson, Robert E.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

**Gold, Robert L.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

**McSherry, Kathleen**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

**Tabor, Greg**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

**Gulino, Daniel**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

**Olin, Mary Lou**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

**Valdes, Mirna**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Use blank sheet, or copy and use additional copies of this sheet, as necessary.)

**B. INFORMATION ABOUT OFFERING**

- |   | Yes                                 | No                                  |
|---|-------------------------------------|-------------------------------------|
| 1. Has the issuer sold, or does the issuer intend to sell, to non-accredited investors in this offering? .....  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| Answer also in Appendix, Column 2, if filing under ULOE.  |                                     |                                     |
| 2. What is the minimum investment that will be accepted from any individual? .....  | \$                                  | <u>75,000</u>                       |
|   | Yes                                 | No                                  |
| 3. Does the offering permit joint ownership of a single unit? .....   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| 4. Enter the information requested for each person who has been or will be paid or given, directly or indirectly, any commission or similar remuneration for solicitation of purchasers in connection with sales of securities in the offering. If a person to be listed is an associated person or agent of a broker or dealer registered with the SEC and/or with a state or states, list the name of the broker or dealer. If more than five (5) persons to be listed are associated persons of such a broker or dealer, you may set forth the information for that broker or dealer only. |                                     |                                     |

Full Name (Last name first, if individual)

**See Attached**

Business or Residence Address (Number and Street, City, State, Zip Code)

Name of Associated Broker or Dealer

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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**B. INFORMATION ABOUT OFFERING**

Full name (Last name first, if individual)

**Dyer, David**

Business or Residence Address (Number and Street, City, State, Zip Code)

**One Ward Parkway, Suite 345, Kansas City, MO 64112**

Name of Associated Broker or Dealer

**Alliance Affiliated Equities Corp.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full name (Last name first, if individual)

**Kittlaus, Clysta Sue**

Business or Residence Address (Number and Street, City, State, Zip Code)

**1547 W. Poppy Hills, St. George, UT 84790**

Name of Associated Broker or Dealer

**Alliance Affiliated Equities Corp.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full name (Last name first, if individual)

**Kittlaus, Lewis K.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**10391 Creekedge Ct., Bonita Springs, FL 34135**

Name of Associated Broker or Dealer

**Alliance Affiliated Equities Corp.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**2300 Windy Ridge Parkway, Atlanta, GA 30339**

Name of Associated Broker or Dealer

**Advantage Capital Corporation**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Birnbaum, Ronald**

Business or Residence Address (Number and Street, City, State, Zip Code)

**One Gateway Center, Suite 350, Newton, MA 02458**

Name of Associated Broker or Dealer

**Advisory Group Equity Services**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**26637 W. Agoura Road, Calabasas, CA 91302**

Name of Associated Broker or Dealer

**AFA Financial Group**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**2300 Windy Ridge Parkway, Atlanta, GA 30339**

Name of Associated Broker or Dealer

**AIG Financial Advisors Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Bishop, Benjamin, C., Jr.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**50 North Laura Street, Suite 3625, Jacksonville, FL 32202**

Name of Associated Broker or Dealer

**Allen C. Ewing & Company**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Mahoney, John T.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**50 North Laura Street, Suite 3625, Jacksonville, FL 32202**

Name of Associated Broker or Dealer

**Allen C. Ewing & Company**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Rachlin, Jeff**

Business or Residence Address (Number and Street, City, State, Zip Code)

**The Landmark at Eastview, 777 Old Saw Mill River Road, Tarrytown, NY 10591**

Name of Associated Broker or Dealer

**Alternative Wealth Strategies, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Thompson, Allen**

Business or Residence Address (Number and Street, City, State, Zip Code)

**244 Westchester Avenue, White Plains, NY 10604**

Name of Associated Broker or Dealer

**Alternative Wealth Strategies, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Donehoo, Thomas C.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**116 Federal Street, Boggs Building, Suite 200, Pittsburgh, PA 15212**

Name of Associated Broker or Dealer

**American General Securities Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Kotwal, Deepak**

Business or Residence Address (Number and Street, City, State, Zip Code)

**116 Federal Street, Boggs Building, Suite 200, Pittsburgh, PA 15212**

Name of Associated Broker or Dealer

**American General Securities Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Jones, Philip**

Business or Residence Address (Number and Street, City, State, Zip Code)

**7918 Jones Branch Drive, Suite 750, Mclean, VA 22102**

Name of Associated Broker or Dealer

**Cambridge Investment Research, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Perkins, Paul**

Business or Residence Address (Number and Street, City, State, Zip Code)

**400 South Dixie Highway, #220, Boca Raton, FL 33432**

Name of Associated Broker or Dealer

**American Securities Group**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Baggerly, Tracy**

Business or Residence Address (Number and Street, City, State, Zip Code)

**Doug Carter, 1036 E. Iron Eagle Drive, Eagle, ID 83616**

Name of Associated Broker or Dealer

**American Independent Securities Group**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**McCarter, Robert**

Business or Residence Address (Number and Street, City, State, Zip Code)

**3308 Sweetwater Boulevard, Murrells Inlet, SC 29576**

Name of Associated Broker or Dealer

**Basic Investors**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**701 Tampa Street, Marion, PA 52302**

Name of Associated Broker or Dealer

**Berthel Fisher & Co. Financial Services**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Shea, Patrick, Terry**

Business or Residence Address (Number and Street, City, State, Zip Code)

**1050 Northgate Drive, San Rafael, CA 94903**

Name of Associated Broker or Dealer

**Brookstreet Securities Corporation**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Davis, Larry**

Business or Residence Address (Number and Street, City, State, Zip Code)

**11300 Rodney Parham Road, Suite 210, Little Rock, AR 72212**

Name of Associated Broker or Dealer

**Calton & Associates, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Harter, Kenny**

Business or Residence Address (Number and Street, City, State, Zip Code)

**11300 Rodney Parham Road, Suite 210, Little Rock, AR 72212**

Name of Associated Broker or Dealer

**Calton & Associates, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Romanoff, Harry Peter**

Business or Residence Address (Number and Street, City, State, Zip Code)

**7918 Jones Branch Drive, #750, McLean, VA 22102**

Name of Associated Broker or Dealer

**Cambridge Investment Research, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Privette, Hugh**

Business or Residence Address (Number and Street, City, State, Zip Code)

**1263 N. Meade Avenue, Colorado Springs, CO 80909-3601**

Name of Associated Broker or Dealer

**Cap West Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Waldo, Davis**

Business or Residence Address (Number and Street, City, State, Zip Code)

**P.O. Box 429, Hartsel, CO 80449**

Name of Associated Broker or Dealer

**Cap West Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Harris, David**

Business or Residence Address (Number and Street, City, State, Zip Code)

**Chester Harris & Company, 222 Mamaroneck Avenue, NY 10605**

Name of Associated Broker or Dealer

**Chester Harris & Company**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Harris, Chester**

Business or Residence Address (Number and Street, City, State, Zip Code)

**Chester Harris & Company, 222 Mamaroneck Avenue, White Plains, NY 10605**

Name of Associated Broker or Dealer

**Chester Harris & Company**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**One University Office Park, Waltham, MA 02453**

Name of Associated Broker or Dealer

**Commonwealth Financial Network**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Boeck, George**

Business or Residence Address (Number and Street, City, State, Zip Code)

**11400 S.E. 8<sup>th</sup> Street, Suite 210, Bellevue, WA 98004**

Name of Associated Broker or Dealer

**Concord Equity Group**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)  
**725 Town & Country Road, Orange, CA 92868**

Name of Associated Broker or Dealer  
**Crown Capital**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)  
**Hansen, Harrel**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**300 Croft Road, Harleton, TX 76551**

Name of Associated Broker or Dealer  
**Cullum & Burks Securities Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)  
**Wold, Donald**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**215 W. Bandera Road, Suite 114-110, Boerne, TX 78006**

Name of Associated Broker or Dealer  
**Cullum & Burks Securities Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)  
**Harris, Chester**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**222 Mamaroneck avenue, White Plains, NY 10605**

Name of Associated Broker or Dealer  
**David Harris & Company**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Armstrong, James W.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**6403 Knollview Drive, Spring, TX 77389**

Name of Associated Broker or Dealer

**DH Hill Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Craig, Philip**

Business or Residence Address (Number and Street, City, State, Zip Code)

**19747 Highway 59 North, Suite 101, Humble, TX 77338**

Name of Associated Broker or Dealer

**DH Hill Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Geraci, Charles**

Business or Residence Address (Number and Street, City, State, Zip Code)

**12721 Sawmill Road, Suite 100, Rhe Woodlands, TX 77380**

Name of Associated Broker or Dealer

**DH Hill Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**150 East 52<sup>nd</sup> Street, 3<sup>rd</sup> Floor, New York, NY 10022**

Name of Associated Broker or Dealer

**Dominick & Dominick, L.L.C.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)  
**3721 Douglas Boulevard, Roseville, CA 95661**

Name of Associated Broker or Dealer  
**E Planning Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Brown, Alexander P.**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**1700 Pennsylvania Avenue, 7<sup>th</sup> Floor, Washington, DC 20006**

Name of Associated Broker or Dealer  
**Ferris Baker Watts**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)  
**328 Newman Springs Road, Red Bank, NJ 07701**

Name of Associated Broker or Dealer  
**First Montauk Securities Corp.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)  
**2300 Windy Ridge Parkway, Atlantic, GA 30339**

Name of Associated Broker or Dealer  
**FSC Securities Corporation**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)  
**4700 South Syracuse Parkway, Denver, CO 80237**

Name of Associated Broker or Dealer  
**Geneos Wealth Management**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)  
**Duckworth, Kara L.**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**D&M Capital Management, 3189 Pullman Street, Costa Mesa, CA 92626**

Name of Associated Broker or Dealer  
**Girard Securities Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)  
**Hill, Mark**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**Pacific Wealth Management, 12520 High Bluff Drive, Suite 340, San Diego, CA 92130**

Name of Associated Broker or Dealer  
**Girard Securities Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)  
**Kuntz, James**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**Pacific Wealth Management, 12520 High Bluff Drive, Suite 340, San Diego, CA 92130**

Name of Associated Broker or Dealer  
**Girard Securities Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Manchester, Richard**

Business or Residence Address (Number and Street, City, State, Zip Code)

**Wave Wealth Management LLC, 470 Ocean Avenue, Suite D, Laguna Beach, CA 92651**

Name of Associated Broker or Dealer

**Girard Securities Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Hrycyk, Stephanie**

Business or Residence Address (Number and Street, City, State, Zip Code)

**3000 S.W. 27<sup>th</sup> Avenue, Amarillo, TX 79109**

Name of Associated Broker or Dealer

**Gramercy Securities Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Scribner, Rod**

Business or Residence Address (Number and Street, City, State, Zip Code)

**3949 Old Post Road, P.O. Box 1059, Charlestown, RI 02813**

Name of Associated Broker or Dealer

**Gramercy Securities Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**5200 W. Waters Avenue, Tampa, FL 33634**

Name of Associated Broker or Dealer

**Gunn Allen Financial**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Harrison, Jason**

Business or Residence Address (Number and Street, City, State, Zip Code)

**1770 Saint James Place, Suite 115, Houston, TX 77056**

Name of Associated Broker or Dealer

**IMS Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Kopacka, Kim**

Business or Residence Address (Number and Street, City, State, Zip Code)

**21 Kercheval, Suite 320B, Gross Pointe Farms, MI 48236**

Name of Associated Broker or Dealer

**IMS Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**230 Broadway, Lynnfield, MA 01940**

Name of Associated Broker or Dealer

**Investors Capital**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**570 Carillon Parkway, St. Petersburg, FL 33716**

Name of Associated Broker or Dealer

**InterSecurities, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Langhofer, Stephen**

Business or Residence Address (Number and Street, City, State, Zip Code)

**Langhofer Financial Group, 300 W. Douglas Avenue, Suite 1000, 8<sup>th</sup> Floor, Wichita, KS 67202**

Name of Associated Broker or Dealer

**Main Street Securities, LLC**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Trowbridge, Robert H., III**

Business or Residence Address (Number and Street, City, State, Zip Code)

**Dominion Wealth Management, Inc., 1801 Robert Fulton Drive, Suite 560, Reston, VA 20191**

Name of Associated Broker or Dealer

**Main Street Securities, LLC**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Flater, Gary**

Business or Residence Address (Number and Street, City, State, Zip Code)

**1551 N. Tustin Avenue, Suite 710, Santa Ana, CA 92705**

Name of Associated Broker or Dealer

**MCL Financial Group, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Gertge, Terrell**

Business or Residence Address (Number and Street, City, State, Zip Code)

**43442 W. Country Road, #43, Ault, CO 80610**

Name of Associated Broker or Dealer

**MCL Financial Group Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Bellucci, Kathleen**

Business or Residence Address (Number and Street, City, State, Zip Code)

**180 Mirador Street, Henderson, NV 89074**

Name of Associated Broker or Dealer

**Merrimac Corporate Securities, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Pizzuti, Stephen**

Business or Residence Address (Number and Street, City, State, Zip Code)

**951 Market Promenade Avenue, Suite 2100, Lake Mary, FL 32746**

Name of Associated Broker or Dealer

**Merrimac Corporate Securities, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**485 E. US Highway 1 South, Iselin, NJ 08830**

Name of Associated Broker or Dealer

**MetLife Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Pace, Anthony**

Business or Residence Address (Number and Street, City, State, Zip Code)

**Lindberg & Ripple, Inc., Two Waterside Crossing, Suite 100, Windsor, CT 06095-1567**

Name of Associated Broker or Dealer

**M Holdings Securities, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Down, David J.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**336 4<sup>th</sup> Avenue, Suite 500, Pittsburgh, PA 15222**

Name of Associated Broker or Dealer

**Mid-Atlantic Capital Corp**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Wells, David W.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**ECA Investment Group, 601 Carlisle Street, Hanover, PA 17331**

Name of Associated Broker or Dealer

**Mid-Atlantic Capital Corp**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**485 E. US Highway 1 South, Iselin, NJ 08830**

Name of Associated Broker or Dealer

**New England Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Barber, Robert**

Business or Residence Address (Number and Street, City, State, Zip Code)

**672 Ridge Hill Drive, New Braunfels, TX 78130**

Name of Associated Broker or Dealer

**Next Financial Group**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)  
**Skolte, Brian**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**551 Coon Rapids Boulevard, Coon Rapids, MN 55433**

Name of Associated Broker or Dealer  
**Next Financial Group**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)  
**Westin, Dan**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**3475 Willow Lake Boulevard, Suite 700, Vadnais Heights, MN 55110**

Name of Associated Broker or Dealer  
**Next Financial Group**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)  
**Archer, Barbara C.**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**8860 Ladue road, St. Louis, MO 63124**

Name of Associated Broker or Dealer  
**NFP Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)  
**Walk, Mitchell B.**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**Asset Management Partners, 1900 Summit Tower Boulevard, Suite 240, Orlando, FL 32810**

Name of Associated Broker or Dealer  
**NFP Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**P.O. Box 259, Okoboji, IA 51355**

Name of Associated Broker or Dealer

**Okoboji Financial Services**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Wagner, Richard L.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**10542 South Jordan Gateway, Suite 310, Salt Lake City, UT 84095**

Name of Associated Broker or Dealer

**Omni Brokerage**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Harkavy, Larry**

Business or Residence Address (Number and Street, City, State, Zip Code)

**Fahnestock & Company, Inc., 700 Veterans Memorial Highway, Suite 120, Hauppauge, NY 11788**

Name of Associated Broker or Dealer

**Oppenheimer & Co.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**1 Renton Place, Renton, WA 98055**

Name of Associated Broker or Dealer

**Pacific West Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Wedepohl, Warren**

Business or Residence Address (Number and Street, City, State, Zip Code)

**17925 Lau Road, Reedsville, WI 54230**

Name of Associated Broker or Dealer

**Pavek Investments Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Kanen, David**

Business or Residence Address (Number and Street, City, State, Zip Code)

**20 Gilbert Avenue, Suite 102A, Smithtown, NY 11787**

Name of Associated Broker or Dealer

**Pointe Capital, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**McCall, John**

Business or Residence Address (Number and Street, City, State, Zip Code)

**24816 Aden Avenue, Newhall, CA 91312-1207**

Name of Associated Broker or Dealer

**Pointe Capital, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**4650 SW McAdam Avenue, Portland, OR 97239**

Name of Associated Broker or Dealer

**Private Consulting Group**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Herrig, James**

Business or Residence Address (Number and Street, City, State, Zip Code)

**2355 J.F.K. Road, Dubuque, IA 52002**

Name of Associated Broker or Dealer

**ProEquities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**655 Fairfield Court, Ann Arbor, MI 48108**

Name of Associated Broker or Dealer

**Questar Capital Corporation**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Swanson, Robert**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Name of Associated Broker or Dealer

**Ridgewood Securities Corp.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**2300 Windy Ridge Parkway, Atlanta, GA 30339**

Name of Associated Broker or Dealer

**Royal Alliance & Associates, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)  
**4261 Park Road, Ann Arbor, MI 48103**

Name of Associated Broker or Dealer  
**Sigma Financial Corporation**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)  
**Burns, Aaron**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**29772 SW Old Well Road, West Linn, OR 97068**

Name of Associated Broker or Dealer  
**Signature Financial**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)  
**Kovaleff, Theodore**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**Sky Capital, 110 Wall Street, 8<sup>th</sup> Floor, New York, NY 10005**

Name of Associated Broker or Dealer  
**Sky Capital LLC**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)  
**Kelly, Richard B.**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**7377 East Doubletree Ranch Road, Suite 290, Scottsdale, AZ 85258**

Name of Associated Broker or Dealer  
**Source Capital Group, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Graves, Gene**

Business or Residence Address (Number and Street, City, State, Zip Code)

**745 Domingo Drive, #8, Newport Beach, CA 92660**

Name of Associated Broker or Dealer

**Standard Investment Chartered Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Bernier, Brian**

Business or Residence Address (Number and Street, City, State, Zip Code)

**401 Edgewater Place, Suite 120, Wakefield, MA 01880**

Name of Associated Broker or Dealer

**Stonegate Partners, LLC**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Doane, John**

Business or Residence Address (Number and Street, City, State, Zip Code)

**401 Edgewater Place, Suite 120, Wakefield, MA 01880**

Name of Associated Broker or Dealer

**Stonegate Partners, LLC**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Mara, Jack**

Business or Residence Address (Number and Street, City, State, Zip Code)

**401 Edgewater Place, Suite 120, Wakefield, MA 01880**

Name of Associated Broker or Dealer

**Stonegate Partners, LLC**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Reinking, Mark**

Business or Residence Address (Number and Street, City, State, Zip Code)

**1715 S. Capital of Texas Highway, Suite 100, Austin, TX 78746**

Name of Associated Broker or Dealer

**Sunset Financial Services, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Nixon, Thomas**

Business or Residence Address (Number and Street, City, State, Zip Code)

**4775 Wallingford Street, Pittsburgh, PA 15213-1711**

Name of Associated Broker or Dealer

**Thomas M. Nixon & Associates**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Thornhill, Gabe**

Business or Residence Address (Number and Street, City, State, Zip Code)

**336 South Congress, Suite 200, Austin, TX 78704**

Name of Associated Broker or Dealer

**Thornhill Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Hoogenakker, Jerry**

Business or Residence Address (Number and Street, City, State, Zip Code)

**3440 Toringdon Way, Suite 208, Charlotte, NC 28277**

Name of Associated Broker or Dealer

**Tower Square Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Shafe, Charles**

Business or Residence Address (Number and Street, City, State, Zip Code)

**The Shafe Group Inc., 531 Versailles Drive, Suite 201, Maitland, FL 32751**

Name of Associated Broker or Dealer

**TransAm Securities Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**3500 Parkway Lane, Norcross, GA 30092**

Name of Associated Broker or Dealer

**Triad Advisors Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Gagnon, Dennis**

Business or Residence Address (Number and Street, City, State, Zip Code)

**Non-Traditional Wealth Management, LLC, 301 E. Pine Street, Suite 150, Orlando, FL 32801**

Name of Associated Broker or Dealer

**USA Financial Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Hung, Louise**

Business or Residence Address (Number and Street, City, State, Zip Code)

**1921 Malcolm avenue, #301, Los Angeles, CA 90025**

Name of Associated Broker or Dealer

**United Equity Securities LLC**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

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Full Name (Last name first, if individual)

**Siebert, Doug**

Business or Residence Address (Number and Street, City, State, Zip Code)

**1714 Deer Tracks Trail, Suite 215, St. Louis, MO 63131**

Name of Associated Broker or Dealer

**United Securities Alliance, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Sheikh, Mohammed Azeem**

Business or Residence Address (Number and Street, City, State, Zip Code)

**880 3<sup>rd</sup> Avenue, 12<sup>th</sup> Floor, New York, NY 10022**

Name of Associated Broker or Dealer

**V Finance**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**8620 W. 110<sup>th</sup> Street, Overland Park, KS 66210**

Name of Associated Broker or Dealer

**VSR Financial Services, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**485 E. Route 1 South, Iselin, NJ 08830**

Name of Associated Broker or Dealer

**Walnut Street Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Melanson, Ronald**

Business or Residence Address (Number and Street, City, State, Zip Code)

**1237 Rainbow Drive, Big Fork, MT 59911**

Name of Associated Broker or Dealer

**Waveland Capital Partners LLC**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Bernier, Michael**

Business or Residence Address (Number and Street, City, State, Zip Code)

**675 North 1<sup>st</sup> Street, Suite 150, San Jose, CA 95112**

Name of Associated Broker or Dealer

**Western International Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Harris, William**

Business or Residence Address (Number and Street, City, State, Zip Code)

**1633 W. Owen K. Garriott, Suite B, Enid, OH 73703**

Name of Associated Broker or Dealer

**Williams Financial Group**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

**Wlosek, Ken**

Business or Residence Address (Number and Street, City, State, Zip Code)

**479 State Highway 17 – Suite 1, Mahwah, NJ 07430**

Name of Associated Broker or Dealer

**Seward Groves Richard & Wells**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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### C. OFFERING PRICE, NUMBER OF INVESTORS, EXPENSES AND USE OF PROCEEDS

b. Enter the difference between the aggregate offering price given in response to Part C – Question 1 and total expenses furnished in response to Part C – Question 4.a. This difference is the "adjusted gross proceeds to the issuer." .....

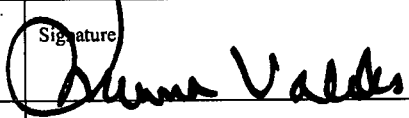
**\$ 39,321,000**

5. Indicate below the amount of the adjusted gross proceeds to the issuer used or proposed to be used for each of the purposes shown. If the amount for any purpose is not known, furnish an estimate and check the box to the left of the estimate. The total of the payments listed must equal the adjusted gross proceeds to the issuer set forth in response to Part C – Question 4.b above.

|   |   | Payments to<br>Officers, Directors,<br>& Affiliates |   | Payments To<br>Others |
|---|---|---|---|-----------------------|
| Salaries and fees.....  | ■ | \$ <u>2,025,000</u>                                 | □ | \$ _____              |
| Purchase of real estate.....  | □ | \$ _____  | □ | \$ _____              |
| Purchase, rental or leasing and installation of machinery and equipment.....  | □ | \$ _____  | □ | \$ _____              |
| Construction or leasing of plant buildings and facilities.....  | □ | \$ _____  | □ | \$ _____              |
| Acquisition of other business (including the value of securities involved in this offering that may be used in exchange for the assets or securities of another issuer pursuant to a merger)..... | □ | \$ _____  | □ | \$ _____              |
| Repayment of indebtedness.....  | □ | \$ _____  | □ | \$ _____              |
| Working capital.....  | □ | \$ _____  | □ | \$ _____              |
| Other (specify): to acquire interests in oil and gas properties, drilling and development costs.....  | ■ | \$ _____  | ■ | \$ <u>36,171,000</u>  |
| reserve for administrative overhead .....   | ■ | \$ <u>1,125,000</u>                                 | □ | \$ _____              |
| Column Totals.....  | ■ | \$ <u>3,150,000</u>                                 | ■ | \$ <u>36,171,000</u>  |
| Total Payments Listed (column totals added) .....   |   |   | ■ | \$ <u>39,321,000</u>  |

### D. FEDERAL SIGNATURE

The issuer has duly caused this notice to be signed by the undersigned duly authorized person. If this notice is filed under Rule 505, the following signature constitutes an undertaking by the issuer to furnish to the U.S. Securities and Exchange Commission, upon written request of its staff, the information furnished by the issuer to any non-accredited investor pursuant to paragraph (b)(2) of Rule 502.

|   |  |                                   |
|---|--|-----------------------------------|
| Issuer (Print or Type)<br><b>Ridgewood Energy U Fund, LLC</b> | Signature<br> | Date<br><b>September 11, 2006</b> |
| Name of Signer (Print or Type)<br><b>Mirna Valdes</b>         | Title of Signer (Print or Type)<br><b>Vice President of the Manager</b>                          |                                   |

### ATTENTION

**Intentional misstatements or omissions of fact constitute federal criminal violations. (See 18 U.S.C. 1001.)**